

Attorney Docket No. H0498/7103 TJO

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

THREE-DIMENSIONAL MICROSTRUCTURES

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☒ was filed on June 14, 2000, as Application No. 09/593,716.

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R. Jackman

October 23, 2000
Date

Inventor's signature

Full name of first or joint inventor: Rebecca J. Jackman
Citizenship: Great Britain
Residence: 38 Grove Street, #2
Boston, MA 02114
Post Office Address: Same as above

Inventor's signature

Full name of second joint inventor: Scott T. Brittain
Citizenship: United States
Residence: 342 Log Cabin Road NE, Apt. 14D
Milledgeville, GA 31061
Post Office Address: Same as above

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Date

Full name of third joint inventor: Oliver J.A. Schueller
Citizenship: France
Residence: 19 Highland Ave., Apt. 1
Somerville, MA 02143
Post Office Address: Same as above

Inventor's signature

Date

Full name of second joint inventor: Allan W. Adams
Citizenship: United States
Residence: 908 Fremont Place, Apt. 2
Menlo Park, CA 94025
Post Office Address: Same as above

Inventor's signature

Date

Full name of second joint inventor: Hongkai Wu
Citizenship: People's Republic of China
Residence: _____
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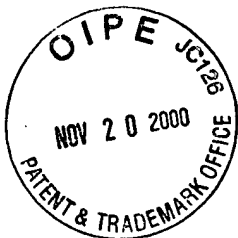
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Full name of second joint inventor: Sue Hays Whitesides
Citizenship: United States
Residence: 5287 Hutchinson, Montreal
Quebec H2V 4B4 Canada
Post Office Address: Same as above

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Full name of fourth joint inventor: George M. Whitesides
Citizenship: United States
Residence: 124 Grasmere Street,
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9-19-00

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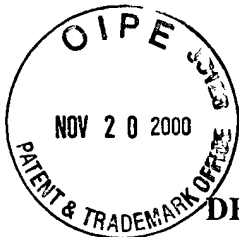
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Residence: 5287 Hutchinson, Montreal
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Post Office Address: Same as above

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Date

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Date



9/15/2000

Inventor's signature

Full name of second joint inventor: Allan W. Adams
Citizenship: United States
Residence: 908 Fremont Place, Apt. 2
Menlo Park, CA 94025
Post Office Address: Same as above

Date

Inventor's signature

Full name of second joint inventor: Hongkai Wu
Citizenship: People's Republic of China
Residence: _____
Post Office Address: Same as above

Date

Inventor's signature

Date

Full name of second joint inventor: Sue Hays Whitesides
Citizenship: United States
Residence: 5287 Hutchinson, Montreal
Quebec H2V 4B4 Canada
Post Office Address: Same as above

Inventor's signature

Date

Full name of fourth joint inventor: George M. Whitesides
Citizenship: United States
Residence: 124 Grasmere Street,
Newton, MA 02158
Post Office Address: Same as above



Attorney Docket No. H0498/7103 TJO

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

THREE-DIMENSIONAL MICROSTRUCTURES

the specification of which is attached hereto unless the following is checked:

☒ [X] was filed on June 14, 2000, as Application No. 09/593,716.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or section 365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §§119 and 365(a),(b):

			Priority Claimed	
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

<u>60/140,177</u>	<u>06/18/99</u>
(Application Number)	(filing date)
<u>60/141,184</u>	<u>06/25/99</u>
(Application Number)	(filing date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

<u>(Application No.)</u>	<u>(filing date)</u>	<u>(status-patented, pending, abandoned)</u>
<u>(Application No.)</u>	<u>(filing date)</u>	<u>(status-patented, pending, abandoned)</u>

PCT International Applications designating the United States:

<u>(PCT Appl. No.)</u>	<u>(U.S. Ser. No.)</u>	<u>(PCT filing date)</u>	<u>(status-patented,pending,abandoned)</u>
------------------------	------------------------	--------------------------	--

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Robert M. Abrahamsen	40,886	Jason M. Honeyman	31,624	Stanley Sacks	19,900
John N. Anastasi	37,765	Robert E. Hunt	39,231	Christopher S. Schultz	37,929
Gary S. Engelson	35,128	Ronald J. Kransdorf	20,004	Alan B. Sherr	42,147
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William G. Gosz	27,787	M. Lawrence Oliverio	30,915	Michael G. Verga	39,410
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George L. Greenfield	17,756	Edward F. Perlman	28,105	Lisa E. Winsor	44,405
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Therese A. Hendricks	30,389	Elizabeth R. Plumer	36,637	Douglas R. Wolf	36,971
Steven J. Henry	27,900	Randy J. Pritzker	35,986	Edward J. Russavage	43,069
		Robert E. Rigby, Jr.	36,904		

Address all telephone calls to Timothy J. Oyer at telephone no. (617) 720-3500. Address all correspondence to:

Timothy J. Oyer
c/o Wolf, Greenfield & Sacks, P.C.,
Federal Reserve Plaza
600 Atlantic Avenue
Boston, MA 02210-2211

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's signature

Date

Full name of first or joint inventor: Rebecca J. Jackman
Citizenship: Great Britain
Residence: 38 Grove Street, #2
Boston, MA 02114
Post Office Address: Same as above

Inventor's signature

Date

Full name of second joint inventor: Scott T. Brittain
Citizenship: United States
Residence: 342 Log Cabin Road NE, Apt. 14D
Milledgeville, GA 31061
Post Office Address: Same as above

Inventor's signature

Date

Full name of third joint inventor: Oliver J.A. Schueller
Citizenship: France
Residence: 19 Highland Ave., Apt. 1
Somerville, MA 02143
Post Office Address: Same as above

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Residence: 908 Fremont Place, Apt. 2
Menlo Park, CA 94025
Post Office Address: Same as above

Inventor's signature

Date

Full name of second joint inventor: Hongkai Wu
Citizenship: People's Republic of China
Residence: 61 Dane st.
Somerville, MA 02143
Post Office Address: Same as above
12 Oxford St. - #323
Cambridge, MA 02138

Inventor's signature

Date

Full name of second joint inventor: Sue Hays Whitesides
Citizenship: United States
Residence: 5287 Hutchinson, Montreal
Quebec H2V 4B4 Canada
Post Office Address: Same as above

Inventor's signature

Date

Full name of fourth joint inventor: George M. Whitesides
Citizenship: United States
Residence: 124 Grasmere Street,
Newton, MA 02158
Post Office Address: Same as above



Attorney Docket No. H0498/7103 TJO

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

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THREE-DIMENSIONAL MICROSTRUCTURES

the specification of which is attached hereto unless the following is checked:

☒ [X] was filed on June 14, 2000, as Application No. 09/593,716.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

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Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §§119 and 365(a),(b):

			Priority Claimed
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> <input type="checkbox"/> YES NO
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> <input type="checkbox"/> YES NO
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I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

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Citizenship: People's Republic of China
Residence: _____
Post Office Address: Same as above

Inventor's signature *Lee Hays Whitledge*

6 Oct. 2000
Date

Inventor's signature

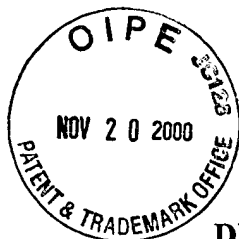
Date _____

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Citizenship: United States
Residence: 5287 Hutchinson, Montreal
Quebec H2V 4B4 Canada
Post Office Address: Same as above

Inventor's signature

Date _____

Full name of fourth joint inventor: George M. Whitesides
Citizenship: United States
Residence: 124 Grasmere Street,
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(Application Number)	(filing date)
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Full name of third joint inventor: Oliver J.A. Schueller
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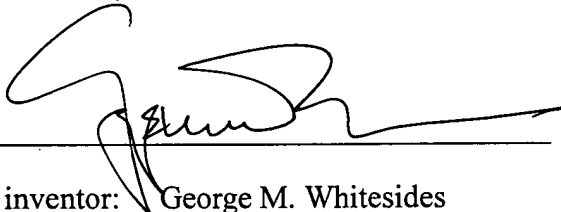
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Citizenship: People's Republic of China
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Post Office Address: Same as above

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Date

Full name of second joint inventor: Sue Hays Whitesides
Citizenship: United States
Residence: 5287 Hutchinson, Montreal
Quebec H2V 4B4 Canada
Post Office Address: Same as above



9/19/00

Inventor's signature

Date

Full name of fourth joint inventor: George M. Whitesides
Citizenship: United States
Residence: 124 Grasmere Street,
Newton, MA 02158
Post Office Address: Same as above



#3

Attorney's Docket No. **H0498/7103 TJO**

Applicant: Rebecca J. Jackman et al.
Serial No: 09/593,716
Filed: June 14, 2000
For: THREE-DIMENSIONAL MICROSTRUCTURES

**DECLARATION CLAIMING SMALL ENTITY STATUS
(SMALL BUSINESS CONCERN)**

I hereby declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Surface Logix
ADDRESS OF CONCERN: 50 Soldier's Field Place, Brighton MA 02135

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled THREE-DIMENSIONAL MICROSTRUCTURES by inventor(s), Rebecca J. Jackman, Scott T. Britain, Oliver J.A. Schueller, Allan W. Adams, Hongkai Wu, Sue Hays Whitesides, and George M. Whitesides, described in application serial no. 09/593,716, filed June 14, 2000.

If the rights held by the small business concern are not exclusive, each individual concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

☐ no such person, concern, or organization
☒ persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME President and Fellows of Harvard College
ADDRESS 17 Quincy Street, Cambridge MA 02138

☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:	Winston Henderson
TITLE OF PERSON IF OTHER THAN OWNER:	Direction, Intellectual Property
ADDRESS OF PERSON SIGNING:	Surface Logix
	50 Soldier's Field Place
	Brighton MA 02135

SIGNATURE Winston E. Henderson

DATE 11/15/00



Attorney's Docket No. H0498/7103

Applicants: Rebecca J. Jackman et al.
Serial No.: 09/593,716
Filed: June 14, 2000
For: THREE-DIMENSIONAL MICROSTRUCTURES

**DECLARATION CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(e) and 1.27(d) - NONPROFIT ORGANIZATION)**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: President and Fellows of Harvard College
ADDRESS OF ORGANIZATION: University Place, 4th Floor South,
124 Mount Auburn Street, Cambridge, MA 02138-5701

TYPE OF ORGANIZATION: UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code with regard to the invention entitled THREE-DIMENSIONAL MICROSTRUCTURES by inventor(s), Rebecca J. Jackman, Scott T. Britain, Oliver J.A. Schueller, Allan W. Adams, Hongkai Wu, Sue Hays Whitesides and George M. Whitesides, described in

- ☐ the specification filed herewith
☒ application serial no. 09/593,716, filed June 14, 2000.
☐ patent no. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

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☒ persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Serial No.: 09/593,716

-2-

FULL NAME Surface Logix
ADDRESS 50 Soldier's Field Place
Brighton, MA 02135

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING
TITLE IN ORGANIZATION
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